



COPY OF PAPERS  
ORIGINALLY FILED

Please use a plus sign (+) inside this box → ☒

PTO/SB/21 (09-00)  
Approved for use through 10/31/2002. OMB 0651-0031

2874  
\$

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/672,159
Filing Date	September 27, 2000
First Named Inventor	Jian et al.
Group Art Unit	2874
Examiner Name	Connelly Cushwa, M.
Attorney Docket Number	2790.P004A

Total Number of Pages in This Submission

19

## ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form  
☒ Fee Attached pto-2038  
☒ Amendment / Reply  
☐ After Final  
☐ Affidavits/declaration(s)  
☐ Extension of Time Request  
☐ Express Abandonment Request  
☐ Information Disclosure Statement  
☐ Certified Copy of Priority Document(s)  
☐ Response to Missing Parts/ Incomplete Application  
☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)  
☐ Drawing(s)  
☐ Licensing-related Papers  
☐ Petition  
☐ Petition to Convert to a Provisional Application  
☒ Power of Attorney, Revocation Change of Correspondence Address  
☐ Terminal Disclaimer  
☐ Request for Refund  
☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group  
☐ Appeal Communication to Board of Appeals and Interferences  
☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  
☐ Proprietary Information  
☐ Status Letter  
☒ Other Enclosure(s) (please identify below):

**Response and Preliminary  
Amendment (14 pgs)  
PTO-2038 (1 page)  
Postcard**

Remarks

RECEIVED  
AUG - 7 2002  
2800 MAIL ROOM

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

**Law Offices of James D. McFarland**

Signature

Date

**July 22, 2002**

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: **07/22/2002**

Typed or printed name

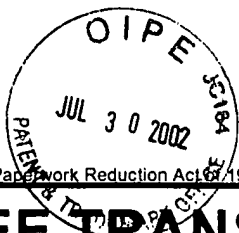
**James D. McFarland**

Signature

Date

**July 22, 2002**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



COPY OF PAPERS  
ORIGINALLY FILED

Express Mail Cert No

PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)

99

## Complete if Known

Application Number	09/672,159
Filing Date	September 27, 2000
First Named Inventor	Jian et al.
Examiner Name	Connelly Cushwa, M.
Group Art Unit	2874
Attorney Docket No.	2790.P004A

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

50-0948

Deposit  
Account  
Name

Law Offices of  
James D. McFarland

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☐ Check ☒ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
----------	----------	----------	----------	-----------------

Fee Paid

101	740	201	370	Utility filing fee
106	330	206	165	Design filing fee
107	510	207	255	Plant filing fee
108	740	208	370	Reissue filing fee
114	160	214	80	Provisional filing fee

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
31	-20** = 11	\$9	\$99
0	-3** = 0	\$42	

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
----------	----------	----------	----------	-----------------

103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

99

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

RECEIVED  
AUG - 7 2002  
TC 800 MAIL ROOM

## SUBMITTED BY

Name (Print/Type)

James D. McFarland

Registration No.  
(Attorney/Agent)

32,544

Complete (if applicable)

Telephone

(858) 509-8687

Signature

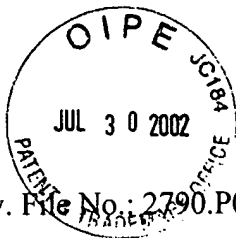
*James D. McFarland*

Date

July 22, 2002

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



COPY OF PAPERS  
ORIGINALLY FILED

Atty. File No.: 2790.P004A

PATENT

#5A  
Election  
Amend  
SDams  
9/9/02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jian, B. et al.

Group Art Unit: 2874

Serial No.: 09/672,159 ✓

Filed: 09/27/2000 ✓

For: HYBRID MICROLENS ARRAY ✓

Examiner: Connelly Cushwa, M.

Certificate of Mailing Under  
37 C.F.R. §1.8

I hereby certify that this document is being  
deposited this day in the U.S. Postal Service  
as first class mail, in an envelope addressed  
to:

Assistant Commissioner for Patents,  
Washington, DC 20231

Date: July 22, 2002

Signature

Name: James D. McFarland  
Reg. No. 32,544

Assistant Commissioner for Patents  
Washington, DC 20231

RECEIVED  
AUG - 7 2002  
TC 2800 MAIL ROOM

RESPONSE TO RESTRICTION REQUIREMENT AND  
PRELIMINARY AMENDMENT

Dear Sir:

In response to the Office Action dated June 21, 2002, Applicant elects Group I and makes the following preliminary amendment.

**Response to Restriction Requirement**

The Examiner has determined that Claims 1-20 are subject to restriction as follows:

Group I: Claims 1-10 and 16-18, drawn to a hybrid microlens; and

Group II: Claims 11-15, 19, and 20, drawn to an optical construction that substantially reduces return signals.

Applicant hereby elects Group I, and therefore cancels claims 11-15 and 19-20.

08/01/2002 SMINASS1 00000029 09672159

01 FC:203

99.00 0P